

07-16-01

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PTO/SB/05 (08-00)

Please type a plus sign (+) inside this box → ☐Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  (Only for new nonprovisional applications under 37 CFR 1.53(b))	<b>Attorney Docket No.</b>	<b>106113</b>
	<b>First Inventor</b>	<b>DAVID S. BEM ET AL.</b>
	<b>Title</b>	<b>PROCESS FOR REMOVING POLLUTANTS FROM AQUEOUS STREAMS</b>
	<b>Express Mail Label No.</b>	<b>EF229918157US</b>

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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|--|---|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status.<br/>See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <b>20</b>]<br/>(preferred arrangement set forth below)</p> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>1</b>]</p> <p>5. Oath or Declaration [Total Pages <b>3</b>]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d))<br/>(for continuation/divisional with Box 17 completed)</p> <p>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/>Signed statement attached deleting inventor(s)<br/>named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> |
|--|---|

**ACCOMPANYING APPLICATION PARTS**

- |  |   |
|--|---|
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))                                    |   |
| 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee)                            | <input type="checkbox"/> Power of Attorney                  |
| 11. <input type="checkbox"/> English Translation Document (if applicable)                                    |   |
| 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449                      | <input checked="" type="checkbox"/> Copies of IDS Citations |
| 13. <input type="checkbox"/> Preliminary Amendment   |   |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) |   |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)         |   |
| 16. <input checked="" type="checkbox"/> Other: Form PTO-2038<br>Form PTO/SB/35                               |   |

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group I Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	<b>23490</b> (Insert Customer No. or Attach barcode label here)	or	<input type="checkbox"/> Correspondence address below
<b>Name</b>			
<b>Address</b>			
<b>City</b>	<b>State</b>	<b>Zip Code</b>	
<b>Country</b>	<b>Telephone</b>	<b>Fax</b>	

<b>Name (Print/Type)</b>	<b>Frank S. Molinaro</b>	<b>Registration No. (Attorney/Agent)</b>	<b>32,710</b>
<b>Signature</b>	<i>Frank S. Molinaro</i>	<b>Date</b>	<b>11 July 2001</b>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 710

## Complete if Known

Application Number

Filing Date

First Named Inventor

DAVID S. BEM ET AL.

Examiner Name

Group Art Unit

Attorney Docket No.

106113

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$)

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

710

SUBTOTAL (1) (\$) 710

## 2. EXTRA CLAIM FEES

Total Claims 13 - 20\*\* = 0 x Fee from below 18 = 0

Independent Claims 1 - 3\*\* = 0 x 80 = 0

Multiple Dependent Claims =

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 \*\* Reissue independent claims over original patent

110 18 210 9 \*\* Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify) 148 Statutory Disclaimer (\$110)			

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

0

## SUBMITTED BY

Name (Print/Type)

Frank S. Molinaro

Registration No.  
(Attorney/Agent)

32,710

Complete (if applicable)

Telephone

(847) 391-2031

Signature

Frank S. Molinaro

Date

11 July 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor		DAVID S. BEM ET AL.
	Title	PROCESS FOR REMOVING POLLUTANTS FROM AQUEOUS STREAMS	
	Atty Docket Number		106113

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

11 July 2001

Date

Frank S. Molinaro

Frank S. Molinaro  
Attorney for Applicants  
Reg. No. 32,710

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PATENT



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of )

DAVID BEM ET AL. )

Atty. Docket No. 106113

PROCESS FOR REMOVING )  
POLLUTANTS FROM AQUEOUS )  
STREAMS )

**SUBMISSION OF INFORMATION IN ACCORDANCE WITH MPEP 609**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants submit herewith documents which they believe may be material to the examination of this application and with respect to which they believe there may be a duty to disclose the existence and contents thereof. These documents are listed on Form PTO-1449 attached hereto.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), nor as an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner.

Copies of all listed documents are:

☒ attached hereto.

☐ attached hereto unless provided during the prosecution of the parent application, U.S. Serial No. \_\_\_\_\_ filed \_\_\_\_\_

☐ now allowed

☐ and issued as U.S. Patent No. \_\_\_\_\_ on \_\_\_\_\_.

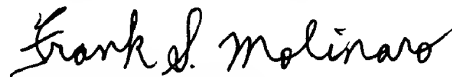
Related Applications:

- ☐ In addition to the documents cited in the specification, applicant wishes to point out copending U.S. application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_.
- ☐ This copending application relates to \_\_\_\_\_.
- ☐ The inventive entity is the same.

The owner of the above applications is the same.

Initialing of each document after its consideration by the Examiner is now respectfully requested in this matter.

Respectfully submitted,



Frank S. Molinaro  
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Reg. No. 32,710  
(847) 391-2031 (phone)  
(847) 391-2387 (fax)

Dated: July 11, 2001

FSM/ral